

Forms

Forms referred to in this manual may be found online at:

- Single/Sole Source Justification Form: <http://www.dfa.cornell.edu/procurement/tools-forms/forms/source-justification>
- Bid Solicitation: <http://www.dfa.cornell.edu/procurement/tools-forms/forms/bid-solicitation>
- Cornell Use of Names, Logos and Artwork on Manufactured Items Form: <https://brand.cornell.edu/>
- New York State Restricted Period Supplier Contact: <https://www.dfa.cornell.edu/procurement/tools-forms/forms/nys-supplier-contact>
- Service Provider Questionnaire: <https://www.dfa.cornell.edu/sites/default/files/service-provider-questionnaire.pdf>
- Service Provider Evaluation Worksheet: <https://www.dfa.cornell.edu/sites/default/files/service-provider-evaluation-worksheet.pdf>

Contracts for Services referred to in this manual may be found online:

Consulting Agreements:

- Independent Contractor/Consultant Agreement Form: <http://www.dfa.cornell.edu/sites/default/files/consultant-agreement.pdf>
- Amendment to Independent Contractor/Consultant Agreement: <http://www.dfa.cornell.edu/sites/default/files/consultant-amendment.pdf>
- Professional Services Agreement: <http://www.dfa.cornell.edu/sites/default/files/prof-services-agrmt.pdf>
- IT Professional Services Agreement: <http://www.dfa.cornell.edu/sites/default/files/it-prof-services-agrmt.pdf>
- Amendment to Professional Services Agreement: <http://www.dfa.cornell.edu/sites/default/files/prof-services-amendment.pdf>

Unique Contracts for Services:

- Facility and Hotel Event Management Addendum for Vendor Contract: <http://www.dfa.cornell.edu/sites/default/files/addendum-facility-contract-agreements.pdf>
- Caterer Contract: <http://www.dfa.cornell.edu/sites/default/files/caterer-contract.pdf>
- Performer and Services Provider Contract Matrix: <http://www.dfa.cornell.edu/sites/default/files/service-provider-matrix.pdf>
- Performer without Equipment Contract: <http://www.dfa.cornell.edu/sites/default/files/performer-no-equipment-contract.pdf>
- Performer with Equipment Contract: <http://www.dfa.cornell.edu/sites/default/files/performer-equipment-contract.pdf>
- Services Provider Contract: <https://www.dfa.cornell.edu/sites/default/files/services-provider-contract.pdf>
- Service Provider Contract for Graphic Design, Videography: <https://www.dfa.cornell.edu/sites/default/files/design-videography-provider-contract.pdf>
- Service Provider Contract for Writing, Editing, Indexing: <https://www.dfa.cornell.edu/sites/default/files/writing-editing-provider-contract.pdf>

Buying Manual

Subject: Quick Reference and Forms

Title: Forms

Number: 900

Issued: February 9, 2009

Revised: February 17, 2021

- Service Provider Contract for Photographer, Artist, Illustrator:
<https://www.dfa.cornell.edu/sites/default/files/photographer-artist-provider-contract.pdf>
- Service Provider Contract for Language Translation and Interpretation (including sign language):
<https://www.dfa.cornell.edu/sites/default/files/translator-provider-contract.pdf>
- Executive Search Firm Agreement Template:
<https://www.dfa.cornell.edu/sites/default/files/search-firm-agreement.doc>

Acronyms that are used throughout the Buying Manual

Acronym	Name
ACH	Automated Clearing House
APO	Automatic purchase order
BSC	Business Service Center
CFO	Chief Financial Officer
DFA	Division of Financial Affairs
EHS	Environmental Health and Safety
End User/Unit/BSC	End user / Unit / Business Service Center
E&I	Educational & Institutional Cooperative Purchasing
FOB	Free on board
GSA	General Services Administration
ID	Identification
IFB	Invitation for bid
KFS	Kuali Financial System
MMCAP	Minnesota Multistate Contracting Alliance for Pharmacy
PDF	Portable document file
PO	Purchase order
POA	Purchase order amendment
PSA	Preferred Supplier Agreement
REQ(S)	Requisition
RFI	Request for Information
RFQ	Request for Quotation
RFP	Request for Proposal
VP	Vice President

Definitions

Term	Definition
Agreement	See definition of Contract below.
Automatic Purchase Order (APO)	A method of ordering that offers units the option to release orders with a total cost below the bid limit directly to the vendors, when the order has met a predetermined set of criteria.
Bid	A request for competitive quotation or proposal from a qualified vendor for the purpose of issuing a purchase order and contract for the procurement of goods or services.
Bid Specifications	A detailed description of the services, equipment and products describing what is to be accomplished and the level of detail needed for success.
Blocked Vendor	A vendor whose merchant category code has been restricted from use with a university procurement card.
Business Expense	An ordinary, necessary, and reasonable charge for goods or services, whether paid, committed, or accrued, that foster or supports the ongoing missions of the university. These charges may include expenses (expenditures), debt service payments, and capital outlays.
Business Meal	A meal at which a substantive and <i>bona fide</i> business discussion, linked to the university's mission, takes place.
Business Purpose	The way in which a particular good or service supports the university's mission of education, research and public service; this is an essential component of documentation, and should be in language that an external reviewer could easily understand.
Business Service Center (BSC)	Financial transaction processing centers approved by the Vice President for Financial Affairs/CFO. See University Policy 4.2, Transaction Authority and Payment Approval , for a list of these centers.
Cardholder, Business Service Center	An individual employed in an BSC who has been authorized to make a procurement card purchase at higher dollar limits than a regular cardholder.
Cardholder, Regular	An individual who has been authorized by his or her unit to use a university procurement card.
Catering	<i>Catering</i> occurs when a vendor prepares, sets up, serves or cleans up food on Cornell controlled property, including both facilities owned by Cornell and facilities that may be rented or leased and only under Cornell's control for the period of the event (i.e., rental of a banquet hall.) Catering should not be confused with simple <i>delivery</i> , where no service is provided on site (i.e., "pizza delivery".)
Competitive Bid	A process used to have more than one vendor provide a price for the same item. The primary purpose of competitive bidding is to insure and demonstrate that funding is being responsibly spent and equal opportunities are being extended.
Concealed Damage	Carton intact, but material damaged.
Conflict of Commitment	A situation in which an employee's additional employment, whether internal or external to the university, interferes with his or her performance in the primary <u>appointment at the university.</u>

Term	Definition
Conflict of Interest	A situation in which an individual or any of his or her family or associates either 1) has an existing or potential financial or other material interest that impairs or might appear to impair the individual's independence and objectivity of judgment in the discharge of responsibilities to the university, or 2) may receive a financial or other material benefit from knowledge of information confidential to the university. Refer to University Policy 4.14, Conflicts of Interest and Commitment .
Contract	A contract is an agreement between two or more parties describing terms and conditions.
Cornell Allowable Expense	A valid and legal business expense for which the use of university funds will be permitted.
Cornell Unallowable Expense	An expense or item for which use of university funds will not be permitted.
Cornell University Vendor	A Cornell unit that sells goods or services.
Default Account	The general ledger account associated with a procurement card that is charged automatically for transactions when a coordinator does not change the account distribution in KFS.
Small Business Administration	A federal program that encourages the engagement of entities that are federally recognized as being "small, disadvantaged business enterprises."
Documentation	Original invoice, copy of cancelled check, original credit card receipt when applicable, and other documentation that describes and substantiates a business transaction.
Emergency Situation	The occurrence of an unanticipated and sudden situation that is life threatening, catastrophic in nature, or involves pressing necessity for immediate repairs, reconstruction, or maintenance in order to permit the safe continuation of a necessary use or function, or to protect the property or the life, health, or safety of any person.
Employee	A person appointed through the Office of Human Resources and paid through payroll to perform services for the university. The university controls and directs the service provider's activities.
e-Procurement	The use of electronic systems to purchase goods, works and services and to process payments from third parties. Cornell's e-procurement system is named e-SHOP.
e-SHOP	Cornell's branded e-procurement system, which allows the units to procure goods and services from a wide variety of pre-selected suppliers through the KFS main menu Shop Catalogs
FOB (Free on Board)	The point of delivery where title of goods transfers from the vendor to Cornell University.
Family Member	A spouse, sibling, parent, grandparent, ancestor, child, or grandchild, or any of their respective spouses.
Financial Institution	The bank issuing procurement cards to Cornell University.

Term	Definition
Foreign National	An individual who is not a citizen of the United States and does not have a permanent resident status or an entity that does not have a place of business or an office in the United States.
Goods	Tangible property for sale, lease, or rental (also known as merchandise, or commodity.)
Honorarium	A payment made in appreciation, primarily intended to confer distinction or to symbolize respect, which is not required by law, and is not a fee charged by the recipient.
Human Participant Fees	A payment to a participant in a study conducted by a Cornell faculty, staff or student; (includes fees for research subjects, survey participants, etc.)
Inactive Procurement Card	A procurement card account that has not been used in the preceding 12 months.
Independent Contractor	An individual or entity engaged to perform services and commonly referred to as a consultant, freelancer, contractor, etc. The service provider is responsible for the means and methods for completing the job based on specifications in the contract. The service provider is not supervised or controlled by Cornell employees.
IRS Form 1099 MISC	A form used to report to the IRS and the taxpayer various types of payment including non-employee compensation to independent contractors.
Joint Venture	An agreement between Cornell University and another organization to exchange resources, share risks, or divide rewards from a combined enterprise.
Journal	Internal transfer of funds between general ledger accounts.
Memorandum of Understanding (MOU) for Spend Delegation	An informal, written record containing the terms of a transaction or agreement signed between Procurement Services and one or more other unit(s) of Cornell University.
Ordinary, Necessary and Reasonable Expense	An expense is ordinary if it is normal and customary. An expense is necessary if it is appropriate and helpful to the business. An expense is reasonable if a prudent person would incur the expense in similar circumstances.
Payment Approval	Authority to process a payment from a university account, and to certify that appropriate funds are available. Note: payment approval does not constitute transaction authority. See University Policy 4.2, Transaction Authority and Payment Approval .
Personal Expense	Any expense for a good or service that does not qualify as a business expense.
Preferred Supplier	A supplier with which Procurement Services has competitively bid and implemented a university-wide agreement, and that Procurement Services endorses as the "best overall value" in providing products, services, delivery, and customer service.
Procurement Agent/ Contract Manager	An individual who is part of a procurement organization at Cornell and has been given transaction authority by the head of the procurement function to negotiate, authorize, and execute contracts on behalf of Cornell University. Examples include, but are not limited to, Cornell Store buyers and Office of Sponsored Programs (OSP) grant and contract officers.

Term	Definition
Procurement Card (pcard)	A credit card issued by a financial institution to Cornell University to make purchases directly from vendors. The individual named on the card is authorized to make certain business purchases on behalf of Cornell University, and the bill is paid directly by the university.
Procurement Card Coordinator	The individual within your BSC with knowledge of appropriate financial, purchasing, and accounting policies, who has specific responsibilities, as defined in this policy, and overall responsibility for the unit's pcard program.
Prohibited Transaction	Any good or service listed in the Procurement Card section of this manual (including Personal Expenses and Cornell Unallowable), and split transactions, that may not be paid for via pcard.
Purchase Order (PO)	A legally binding contract for purchase between the university and the vendor.
Recurring Order	A purchase order for a defined period of time, frequently used for repetitive purchases, with a "not to exceed" dollar amount specified.
RFI (Request for Information)	A solicitation for information about a service or product; used when a clearly defined scope of work or specification is not available.
RFP (Request for Proposal)	A solicitation used to acquire goods and/or services when a clearly defined scope of work or specification is available.
RFQ (Request for Quotation)	A solicitation for a price for a specific item or service.
Receipt	A written acknowledgment that something has been received, which, generally, details the date of purchase, vendor name and address, description of goods and services, quantity, unit price, and total of expenditures.
Revocation of Card	The cancellation of a procurement card.
Risk Management and Insurance	A department responsible for procuring all institutional insurance, processing claims where applicable, establishing appropriate levels of insurance for suppliers (especially those working on campus).
Scope of work	A detailed description of the product or service being requested.
Service Provider	An individual or entity engaged to perform a service.
Service Recipient	The unit of Cornell University receiving services.
Service	An activity in which labor is the major factor and not merely incidental to the production, acquisition, and/or delivery of a good. Examples of services include hay delivery, catering, equipment repair, and web site design.
Single Source/Sole Source	Where competition may not be feasible due to the single source/sole source nature of a commodity or a particular specification.
Spend	An act of using funds to purchase goods or services, or the funds spent by a unit through its procurement processes.
Split Transaction	Multiple payments for a single item (whether a good or service) to evade the maximum pcard per-transaction limit or bidding threshold requirements.
Sponsored Project	A signed award (grant, contract, or cooperative agreement) under which the university agrees to perform a certain scope of work for an external sponsor.

Term	Definition
Sponsored Project Consulting Agreement	A written agreement between the university and an independent contractor to provide highly specialized professional services directly related to the science and or scope of the sponsored project. A Sponsored Project Consulting Agreement is usually for a relatively short duration (less than one year).
Subcontract	A written agreement between Cornell University and a third party, often issued under a sponsored project, to procure "substantive programmatic effort." A subcontract generally involves services over a relatively long period (one year or more).
Subcontractor	An individual, business, or other third party engaged, often under a sponsored project agreement, to provide services that contribute "substantive programmatic effort" to the project.
Sufficient Documentary Evidence	Information and documentation that, when taken as a whole, substantiates an expense and its business purpose. Sufficient documentation should include who, what, when, where, why, and how much.
Supervisor	The individual with primary responsibility for the regular and customary supervision of individual positions. Generally, the supervisory duties include hiring, salary, discipline, performance evaluation, and work assignment decisions.
Supplier	See definition of Vendor below.
Suspension of Card	Removal of the procurement card holder's privilege to use the pcard for a specific period of time.
Terms and Conditions	Stand-alone clauses that define the understanding between Cornell University and the vendor.
Transaction	Any event that involves an exchange of funds between two parties. Examples are paying a bill to a vendor, collecting a fee from a student, and making an interdepartmental charge. Also, a single debit or credit to a procurement card.
Transaction Authority	The authority to administer, approve, and execute transactions or agreements with external parties that commit the university. See University Policy 4.2, Transaction Authority and Payment Approval .
Unit	A college, department, program, research center, financial transaction center, business service center, or other operating unit.
University Funds	All funds received from internal or external sources and owned by the university, which carry with them fiduciary responsibilities. This includes, but is not limited to, discretionary funds, funds from salary recovery, restricted gifts, tuition paid by students, and funds from other sources.
UNSPSC	United Nations Standard Products and Services Code are 8-digit numeric classification codes that describe individual products and services.
Vendor	An individual or organization that provides specified and agreed upon goods and/or services to the university. May be used interchangeably with "supplier."
W-9	An IRS form used to request taxpayer identification number.

Contacts

Subject	Contact	Telephone	URL/Email
Audit Services	University Audit Office	(607) 255-9300	audit@cornell.edu http://audit.cornell.edu
Capital Assets	Cost and Capital Assets	(607) 255-9368	uco-capasset@cornell.edu
Contract Interpretation	Office of the University Counsel	(607) 255-5124	Counsel-web@cornell.edu http://counsel.cornell.edu/
Cornell Name and Logo, Use of	Division of University Communications	(607) 255-9929	www.sao.cornell.edu/SO/logo.php
Emergency Order	Procurement and Payment Services	(607) 255-3804	http://procurement.cornell.edu/ procurement@cornell.edu
Employment Services	Office of Human Resources	(607) 254-8370	www.ohr.cornell.edu/hr/organization/rec/index.html employment_svcs-mailbox@cornell.edu
Health and Safety Concerns	Environmental Health and Safety	(607) 255-8200	dehs@cornell.edu www.ehs.cornell.edu
Independent Contractor - Initial Inquiries/General Questions	Unit HR Representative/ Financial Administrator	Unit-specific	
Independent Contractor vs. Employee, Classification of	Office of Tax Compliance	(607) 254-4670	tax@cornell.edu
Independent Contractor, Insurance Questions	Risk Management and Insurance Procurement and Payment Services	(607) 254-1575 (607) 255-3804	http://procurement.cornell.edu/ procurement@cornell.edu
IRS or Other Taxing Agencies, Inquiries from	Office of Tax Compliance	(607) 254-4670	tax@cornell.edu
Legal Services	Office of the University Counsel	(607) 255-5124	Counsel-web@cornell.edu http://counsel.cornell.edu/

Subject	Contact	Telephone	URL/Email
New York State Funds, Procurement	Procurement and Payment Services	(607) 255-3804	http://procurement.cornell.edu/ procurement@cornell.edu
Payment Processing	Accounts Payable	(607) 255-0867 (607) 255-0869	uco-accts-pay@cornell.edu
Disbursement Voucher	Disbursement Review	(607) 255-8179 (607) 255-0871	www.payments.cornell.edu/ drat@cornell.edu
Real Estate Services/Procurement of Real Estate	Real Estate Department	(607) 266-7866	www.re.cornell.edu
Services, Contracting for (General/First Inquiries)	Procurement and Payment Services	(607) 255-3804	http://procurement.cornell.edu/ procurement@cornell.edu
Small Business Liaison	Procurement and Payment Services	(607) 255-3804	http://procurement.cornell.edu/ procurement@cornell.edu
Sponsored Programs, Consulting Agreements and Subcontracts	Office of Sponsored Programs	(607) 255-5014	cu_subawds@cornell.edu
Tax Reporting, Independent Contractor	University Tax Office	(607) 254-4670	tax@cornell.edu
Transaction Authority	Division of Financial Affairs	(607) 255-4242	www.dfa.cornell.edu
Travel Services, Procurement of	Procurement and Payment Services	(607) 255-3804	www.travel.cornell.edu/ procurement@cornell.edu
Treasury and Banking Services, Procurement of	Office of the Treasurer	(607) 254-1590	www.treasury.cornell.edu
Unauthorized Purchases	Procurement and Payment Services	(607) 255-3804	http://procurement.cornell.edu/ procurement@cornell.edu

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Number: 904

Issued: June 10, 2009

Revised: May 10, 2016

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